



Docket No. P 63550US2

JUL 01 2004

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE Application of: Harris et al.  
Serial No.: 10/669,400 Art Unit: 1624  
Filing Date: 9/23/03 Examiner: S. Patel  
For: SUBSTITUTED AZA-OXINDOLE DERIVATIVES

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

## INFORMATION DISCLOSURE STATEMENT

Applicants request that the references identified on Form PTO-1449 appended hereto be considered by the Examiner and officially made of record in accordance with the provisions of 37 CFR 1.97

- ☐ Copies of the references are enclosed  
☒ Copies of the references were submitted in parent application Serial No. 09/914,393. (37 CFR 1.98(d))  
☐ A copy of the International Search Report which issued on International Application No. \_\_\_\_\_ is submitted herewith. All of the publications cited in the International Search Report are listed on the attached form PTO-1449 and Applicants understand that copies have been supplied to the U.S. Patent Office by the International Bureau.
- A. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing date of the above application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 CFR 1.97(b).
- OR
- ☐ The Information Disclosure Statement submitted herewith is being filed before the mailing of a first office action after the filing of a Request For Continued Examination under 37 C.F.R. 1.114 (37 C.F.R. 1.97(b)(4)).
- B. ☐ The Information Disclosure Statement transmitted herewith is being filed after three months of the filing date of the above application or the date of entry into the national stage as set forth in § 1.491 of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last, but before the mailing date of either:
- (1) a final action under § 1.113 or
  - (2) a notice of allowance under § 1.311,
- whichever occurs first.

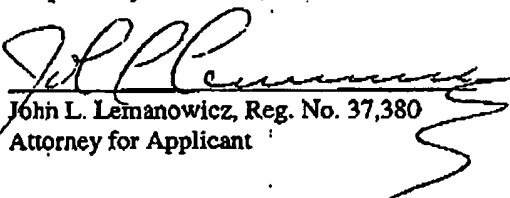
## Atty. Docket No.

- ☐ Applicant hereby certifies that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ Applicant elects the option to pay the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under § 1.97(c) (\$180.00).
- C. ☒ The Information Disclosure Statement transmitted herewith is being filed after a final action under § 1.113, or a notice of allowance under § 1.311, whichever occurs first, but before the payment of the issue fee. Also enclosed is a copy of the International Search Report which Issued on International Publication No.

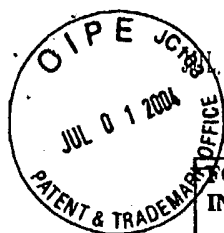
In accordance with the requirements of 37 CFR 1.97(d):

- ☐ Applicant hereby certifies that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement. [or]
- ☐ Applicant hereby certifies that no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of this statement; and
- ☒ The petition fee set forth in § 1.17(i)(1) (\$180.00) is submitted herewith.
- ☒ Please charge any required fees to Deposit Account No.07-1392.
- ☒ A duplicate copy of this paper is attached.

Respectfully Submitted,

  
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NO. 4208 P. 8

Page 1 of 3

FORM PTO-1449  
INFORMATION DISCLOSURE STATEMENTATTORNEY DOCKET  
NO.  
PU3552US2SERIAL NO.  
10/669,400APPLICANT  
Harris et al.FILING DATE  
9/23/03GROUP  
1624

## U.S. PATENT DOCUMENTS

Examiner Initials		Patent Number	Issue Date	Name	Class	Subclass	Filing Date if Appropriate
8/26	AA	5,089,516	2/18/92	Shiraishi et al.			
	AB	5,057,538	10/15/91	Shiraishi et al.			
	AC	5,202,341	4/13/93	Sbiraishi et al.			
	AD	5,051,417	9/24/91	Nadler et al.			
	AE	5,449,755	9/12/95	Roberts et al.			
	AF	5,443,962	8/22/95	Draetta et al.			
	AG	5,770,423	6/23/98	Beach et al.			
	AH	5,756,335	5/26/98	Beach et al.			
	AI	5,672,508	9/30/97	Gyruis et al.			
	AJ	5,441,880	8/15/95	Beach et al.			

Continue on page 2

## FOREIGN PATENT DOCUMENTS

		Document Number	Publication Date	Country	Class	Subclass	Translation Yes   No
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	BB	198 15 020	10/7/99	DE			
	BC	97/25986	1/16/97	PCT			
	BD	94/23029	10/13/94	PCT			
	BE	93/24514	12/9/93	PCT			
	BF	94/28914	12/22/94	PCT			
	BG	93/10242	5/27/93	PCT			
	BH	98/07835	2/26/98	PCT			
	BI	95/01349	1/12/95	PCT			
	BJ	0503349 A1	9/16/92	EP			

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## OTHER DOCUMENTS (Including Author, Title, Journal-Date, Page Number, Etc.)

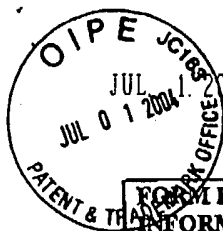
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8/26	CB	Mohammed Kamel, et al., "Monoazo Metal Complex Forming Dyes Part V Dyes Derived from Isatin," J. Chem. U.A.R. 9, No. 2, 1966, pp. 139-144.
8/26	CC	Vishnu J. Ram, et al., "Pesticidal Mannich Bases Derived from Isatinimines," J. Heterocycle Chem., Vol. 23, Sept-Oct 1986, pp. 1367-1369.
8/26	CD	Xiaoyun Wu, et al., "Chemical Constituents of Isatis Indigotica," Planta Medica, 1997, pp. 55-57.
8/26	CE	Hoessel et al., "Indirubin, the Active Constituent of a Chinese Antileukaemia Medicine, Inhibits Cyclin-Dependent Kinases," Nat. Cell Biol., 1996, pp. 60-67.
8/26	CF	H.J. Kallmayer, "Substituierte Isatin-phenylimine," Arch. Pharm., Vol. 308, 1975, pp. 742-748.

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EXAMINER

DATE CONSIDERED

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NO. 4208 P. 9

Page 2 of 3

FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT					ATTORNEY DOCKET NO. PU3552US2		SERIAL NO. 10/669,400	
					APPLICANT Harris et al.			
					FILING DATE 9/23/03		GROUP 1624	
U.S. PATENT DOCUMENTS								
Examiner Initials		Patent Number	Issue Date	Name	Class	Subclass	Filing Date If Appropriate	
SJS	AK	5,124,342	6/23/92	Kerdesky et al.				
	AL	5,374,652	12/20/94	Buzzetti et al.				
	AM	5,488,057	1/30/96	Buzzetti et al.				
	AN	5,627,207	5/6/97	Buzzetti et al.				
	AO	6,043,254	3/28/00	Grell et al.				
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		Document Number	Publication Date	Country	Class	Subclass	Translation Yes   No	
SJS	BK	0788890 A1	8/13/97	EP				
	BL	0503349 B1	1/4/95	EP				
	BM	96/32380	10/17/96	PCT				
	BN	0436333 A2	7/10/91	EP				
	BO	93/01182	1/21/93	PCT				
	BP	97/36867	10/9/97	PCT				
	BQ	94/40116	12/19/96	PCT				
	BR	98/07695	2/26/98	PCT				
	BS	96/16964	6/6/96	PCT				
	BT	96/00226	1/4/96	PCT				
	BU	96/22976	8/1/96	PCT				
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	CI	K. Yashpal, J. Neurosci., Vol. 15, 1995, pp. 3263-72.						
	CJ	Badger, J. Pharm. Exp. Ther., Vol. 279, 1996, p. 1453.						
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	CM	Hunter and Pines, Cell, Vol. 79, 1994, p. 573.						
CN	Hajjar and Pomerantz, FASEB J., Vol. 6, 1992, p. 2933.							
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EXAMINER <u>SJS</u>					DATE CONSIDERED <u>8/1/03</u>			
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<b>FORM PTO-1449</b> <b>INFORMATION DISCLOSURE STATEMENT</b>				<b>ATTORNEY DOCKET NO.</b> PU3552US2		<b>SERIAL NO.</b> 10/669,400	
				<b>APPLICANT</b> Harris et al.			
				<b>FILING DATE</b> 9/23/03		<b>GROUP</b> 1624	

<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initials	Patent Number	Issue Date	Name	Class	Subclass	Filing Date If Appropriate	

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<b>FOREIGN PATENT DOCUMENTS</b>							
Document Number	Publication Date	Country	Class	Subclass	Translation Yes / No		
B2	198 16 624	Germany					

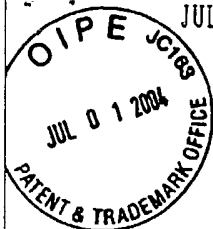
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<b>OTHER DOCUMENTS (Including Author, Title, Journal-Date, Page Number, Etc.)</b>		
CO	Salari, FEBS, Vol. 263, 1990, p. 104.	
CP	A.C. Borthwick et al., Biochem. Biophys. Res. Commun., Vol. 210, 1995, p. 738.	
CQ	Strawn et al., Cancer Res., Vol. 56, 1996, p. 3540.	
CR	Jackson et al., J. Pharm. Exp. Ther., Vol. 284, 1998, p. 687.	
CS	Buchdunger et al., Proc. Nat. Acad. Sci. USA, Vol. 952, 1991, p. 2258.	
CT	Bolen and Brugge, Ann. Rev. Immunol., Vol. 15, 1997, p. 371.	
CU	E. Littler, Nature, Vol. 358, 1992, p. 160.	
CV	Schlesinger and Ullrich, Neuron, 1992, Vol. 9, p. 383	

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EXAMINER <i>[Signature]</i>	DATE CONSIDERED <i>[Signature]</i>
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